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PTO/SB/21 (12/97)  
Approved for use through 9/30/2000. OMB 0651-0031

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

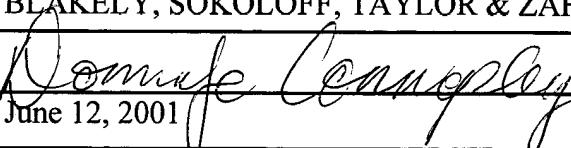
## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

|  |   |                        |                   |
|--|---|------------------------|-------------------|
|  |   | Application No.        | 09/473,391        |
|  |   | Filing Date            | December 28, 1999 |
|  |   | First Named Inventor   | Kenneth C. Cadien |
|  |   | Group Art Unit         | 1765              |
|  |   | Examiner Name          | Chen, K.          |
| Total Number of Pages in This Submission | 5 | Attorney Docket Number | 42390P8136        |

### ENCLOSURES (check all that apply)

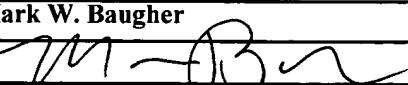
|  |  |   |
|--|--|---|
| <input checked="" type="checkbox"/> Fee Transmittal Form                           | <input type="checkbox"/> Assignment Papers<br>(for an Application)                         | <input type="checkbox"/> After Allowance Communication<br>to Group                                  |
| <input type="checkbox"/> Fee Attached  | <input type="checkbox"/> Drawing(s)  | <input type="checkbox"/> Appeal Communication to Board<br>of Appeals and Interferences              |
| <input type="checkbox"/> Amendment / Response                                      | <input type="checkbox"/> Licensing-related Papers  | <input type="checkbox"/> Appeal Communication to Group<br>(Appeal Notice, Brief, Reply Brief)       |
| <input type="checkbox"/> After Final   | <input type="checkbox"/> Petition Routing Slip (PTO/SB/69)<br>and Accompanying Petition    | <input type="checkbox"/> Proprietary Information  |
| <input type="checkbox"/> Affidavits/declaration(s)                                 | <input type="checkbox"/> To Convert a<br>Provisional Application                           | <input type="checkbox"/> Status Letter  |
| <input type="checkbox"/> Extension of Time Request                                 | <input type="checkbox"/> Power of Attorney, Revocation<br>Change of Correspondence Address | <input checked="" type="checkbox"/> Additional Enclosure(s)<br>(please identify below):             |
| <input type="checkbox"/> Express Abandonment Request                               | <input type="checkbox"/> Terminal Disclaimer   | <div style="border: 1px solid black; padding: 5px;">1) PTO 1449</div>                               |
| <input checked="" type="checkbox"/> Information Disclosure Statement               | <input type="checkbox"/> Small Entity Statement  | <div style="border: 1px solid black; padding: 5px;">2) Copies of 6 (six) cited<br/>references</div> |
| <input type="checkbox"/> Certified Copy of Priority<br>Document(s)                 | <input type="checkbox"/> Request for Refund  |   |
| <input type="checkbox"/> Response to Missing Parts/<br>Incomplete Application      |  |   |
| <input type="checkbox"/> Response to Missing<br>Parts under 37 CFR<br>1.52 or 1.53 |  |   |
| Remarks  |  |   |

| SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT |  |
|--|--|
| Firm<br>or<br>Individual name              | Donna Jo Coningsby, Reg. No. 41,684<br><br>BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP    |
| Signature                                  |  |
| Date                                       | June 12, 2001  |

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### CERTIFICATE OF MAILING/TRANSMISSION

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June 12, 2001

|                       |   |
|-----------------------|---|
| Typed or printed name | Mark W. Baugher   |
| Signature             |  |
| Date                  | June 12, 2001   |

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# FEE TRANSMITTAL for FY 2000

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$)

Complete if Known

|                        |                   |
|------------------------|-------------------|
| Application No.        | 09/473,391        |
| Filing Date            | December 28, 1999 |
| First Named Inventor   | Kenneth C. Cadien |
| Examiner Name          | Chen, K.          |
| Group/Art Unit         | 1765              |
| Attorney Docket Number | 42390P8136        |

## METHOD OF PAYMENT (check one)

1.  The Commissioner is hereby authorized to credit any overpayments to:

Deposit Account Number **02-2666**

Deposit Account Name **Blakely, Sokoloff, Taylor & Zafman LLP**

- Charge Any Additional Fee(s) Required  
Under 37 CFR §§ 1.16, 1.17, 1.18 and 1.20.
- Applicant claims small entity status.  
See 37 CFR 1.27.

## 2. Payment Enclosed:

Check     Credit card     Money Order     Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity   Small Entity

| Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description        | Fee Paid |
|----------|----------|----------|----------|------------------------|----------|
| 101      | 710      | 201      | 355      | Utility filing fee     |          |
| 106      | 320      | 206      | 160      | Design filing fee      |          |
| 107      | 490      | 207      | 245      | Plant filing fee       |          |
| 108      | 710      | 208      | 355      | Reissue filing fee     |          |
| 114      | 150      | 214      | 75       | Provisional filing fee |          |

SUBTOTAL (1) (\$)

### 2. EXTRA CLAIM FEES

| Total Claims       | - | Extra Claims | Fee from below | Fee Paid |
|--------------------|---|--------------|----------------|----------|
| Independent Claims |   |              |                |          |
| Multiple Dependent |   |              |                |          |

\*\*or number previously paid, if greater. For Reissues, see below

Large Entity   Small Entity

| Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description   |
|----------|----------|----------|----------|---|
| 103      | 18       | 203      | 9        | Claims in excess of 20                                    |
| 102      | 80       | 202      | 40       | Independent claims in excess of 3                         |
| 104      | 260      | 204      | 135      | Multiple Dependent claim, if not paid                     |
| 109      | 80       | 209      | 40       | **Reissue independent claims over original patent         |
| 110      | 18       | 210      | 9        | **Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$)

## 3. ADDITIONAL FEE

| Large Entity | Small Entity | Fee Description   | Fee Paid |
|--------------|--------------|---|----------|
| 105          | 130          | 205 65 Surcharge - late filing fee or oath  |          |
| 127          | 50           | 227 25 Surcharge - late provisional filing fee or cover sheet                     |          |
| 139          | 130          | 139 130 Non-English specification   |          |
| 147          | 2,520        | 147 2,520 For filing a request for reexamination                                  |          |
| 112          | 920*         | 112 920 *Requesting publication of SIR prior to Examiner action                   |          |
| 113          | 1,840*       | 113 1,840 *Requesting publication of SIR after Examiner action                    |          |
| 115          | 110          | 215 55 Extension for response within first month                                  |          |
| 116          | 390          | 216 195 Extension for response within second month                                |          |
| 117          | 890          | 217 445 Extension for response within third month                                 |          |
| 118          | 1,390        | 218 695 Extension for response within fourth month                                |          |
| 128          | 1,890        | 228 945 Extension for response within fifth month                                 |          |
| 119          | 310          | 219 155 Notice of Appeal  |          |
| 120          | 310          | 220 155 Filing a brief in support of an appeal                                    |          |
| 121          | 270          | 221 135 Request for oral hearing  |          |
| 138          | 1,510        | 138 1,510 Petition to institute a public use proceeding                           |          |
| 140          | 110          | 240 55 Petition to revive - unavoidable   |          |
| 141          | 1,240        | 241 620 Petition to revive - unintentional  |          |
| 142          | 1,240        | 242 620 Utility issue fee (or reissue)  |          |
| 143          | 440          | 243 220 Design issue fee  |          |
| 144          | 600          | 244 300 Plant issue fee   |          |
| 122          | 130          | 122 130 Petitions to the Commissioner   |          |
| 123          | 130          | 123 130 Petitions related to provisional applications                             |          |
| 126          | 180          | 126 180 Submission of Information Disclosure Stmt                                 |          |
| 581          | 40           | 581 40 Recording each patent assignment per property (times number of properties) |          |
| 146          | 710          | 246 355 Filing a submission after final rejection (37 CFR 1.129(a))               |          |
| 149          | 710          | 249 355 For each additional invention to be examined (37 CFR 1.129(b))            |          |
| 179          | 710          | 279 355 Request for Continued Examination (RCE)                                   |          |
| 169          | 900          | 169 900 Request for expedited examination of a design application                 |          |

Other fee (specify) \_\_\_\_\_

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

## SUBMITTED BY

Complete (if applicable)

|                   |                           |                                      |        |           |                |
|-------------------|---------------------------|--------------------------------------|--------|-----------|----------------|
| Name (Print/Type) | Donna Jo Coningsby        | Registration No.<br>(Attorney/Agent) | 41,684 | Telephone | (503) 684-6200 |
| Signature         | <i>Donna Jo Coningsby</i> |                                      |        | Date      | 06/12/01       |

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## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of:

KENNETH C. CADIEN, ET AL.

Application No.: 09/473,391

Filed: December 28, 1999

For: ABRASIVES FOR CHEMICAL MECHANICAL  
POLISHING

Art Group: 1765

Examiner: Chen, K.

## INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

In accordance with the duty of disclosure under 37 CFR § 1.56 and in accordance with 37 C.F.R. § 1.97, enclosed is a copy of Information Disclosure Citation Form PTO-1449 together with copies of the documents cited on that form. It is respectfully requested that the cited documents be considered and that the enclosed copy of the Information Disclosure Citation Form PTO-1449 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s).

Pursuant to 37 CFR § 1.97(e)(1), it is hereby stated that each item of information contained in the Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Information Disclosure Statement.

Pursuant to 37 C.F.R. § 1.97, the submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made and is not to be construed as an admission that the information cited in this statement is material to patentability.

If any additional fees are required, please charge Deposit Account 02-2666. A duplicate copy of the Fee Transmittal is enclosed for this purpose.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR &amp; ZAFMAN LLP

Donna Jo Coningsby, Reg. No. 41,684

Date: June 12, 2001

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Mark W. Baugher

06/12/01  
Date